UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/871,427	05/31/2001	Andrew J.R. Smith	3499-76	8901

56678	7590	11/27/2006	

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EXAMINER
HAMILTON, LALITA M

ART UNIT	PAPER NUMBER
3691	

DATE MAILED: 11/27/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)
Office Action Summary	09/871,427	SMITH ET AL.
	Examiner	Art Unit	
	Lalita M. Hamilton	3691	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE **3** MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on <u>29 August 2006</u>.

2a) ☐ This action is **FINAL**.   2b) ☒ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) <u>1-34</u> is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5) ☐ Claim(s) _____ is/are allowed.

6) ☒ Claim(s) <u>1-34</u> is/are rejected.

7) ☐ Claim(s) _____ is/are objected to.

8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a) ☐ All   b) ☐ Some * c) ☐ None of:

        1. ☐ Certified copies of the priority documents have been received.

        2. ☐ Certified copies of the priority documents have been received in Application No. _____.

        3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☒ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date <u>01022002</u>.

4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ .

5) ☐ Notice of Informal Patent Application

6) ☐ Other: _____ .

DETAILED ACTION

Summary

On July 17, 2006, a restriction requirement was sent to the Applicant. On August

29, 2006, the Applicant responded by electing group II with traverse.

Election/Restrictions

The restriction requirement has been withdrawn. The Examiner will examine all

claims, 1-34.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that

form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-34 are rejected under 35 U.S.C. 102(e) as being anticipated by Lewis

(6,513,019).

Lewis discloses as method and corresponding system for managing financial

information comprising receiving a raw data object carried on a raw data stream input,

determining an object type of the raw data object, generating a formatted data object

based on the contents of the raw data object by applying a set of formatting rules,

determining if a prior version of the formatted data object is present in an object storage

pool, if a prior version is present in the object storage pool, determining a data

differential between the formatted data object and the prior version, updating the prior

version of the formatted data object to correspond with the generated formatted data

object, and broadcasting the data differential on an output broadcast data channel,

otherwise, if no prior version is present in the object storage pool, providing the

formatted data object to subscriber processes and storing the formatted data object in

the object storage pool (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15;

col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); formatted

data object stored in the object storage pool has an associated sequence number,

the step of updating comprising the step of incrementing the sequence number of the

formatted data object, the step of broadcasting the data differential including

broadcasting the sequence number associated with the formatted data object (col.5, line

60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41;

col.12, lines 45-65; and col.20, lines 40-45); providing the formatted data object

comprises broadcasting the formatted data object on the output broadcast channel

(col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22,

line 41; col.12, lines 45-65; and col.20, lines 40-45); the broadcast channel is selected

from a plurality of broadcast channels according to the object type (col.5, line 60 to

col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines

45-65; and col.20, lines 40-45); applied formatting rules are selected in accordance with

the determined object type (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15;

col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); translating

the raw data object into a raw event comprising at least one name-value pair prior to

performing the steps of determining an object type of the raw data object and

generating a formatted data object (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9,

line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45);

validating the contents of the raw data object and upon a failed validation, preventing

subsequent broadcast of the data differential or formatted data object derived from the

respective raw data object (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15;

col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45);receiving a

particular formatted data object at a subscriber process, storing the received formatted

data object in a database associated with the subscriber process, receiving at the

subscriber process a data differential for the particular formatted object via the

broadcast data channel, and updating the stored formatted data object in accordance

with the received data differential (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9,

line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45); the

broadcast data channel is received by a plurality of subscriber processes (col.5, line 60

to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12,

lines 45-65; and col.20, lines 40-45); the subscriber processes receives a plurality of

broadcast channels; communicating information about the formatted data object stored

in the subscriber database to a remote location (col.5, line 60 to col.6, line 28; col.8, line

48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and col.20, lines

40-45); the raw data object comprises information related to a financial product offering

(col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line 34 to col.22,

line 41; col.12, lines 45-65; and col.20, lines 40-45); the object typing and formatting

rules are stored in a tree format, the tree having a root node and at least one

descendant stream nodes, each stream node being associated with a specific raw data

stream, each stream node further having at least one type leaf node descending

therefrom, each type leaf node being associated with a specific object type carried by

the raw data stream associated with the respective stream node, each type leaf node

having at least one associated object typing rule for identifying objects of the type

associated with the respective type leaf node (col.5, line 60 to col.6, line 28;

col.8, line 48 to col.9, line 15; col.10, line 34 to col.22, line 41; col.12, lines 45-65; and

col.20, lines 40-45); and each type leaf node further has at least one associated

formatting rule (col.5, line 60 to col.6, line 28; col.8, line 48 to col.9, line 15; col.10, line

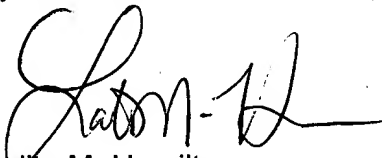34 to col.22, line 41; col.12, lines 45-65; and col.20, lines 40-45).

Conclusion

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Lalita M. Hamilton whose telephone number is (571)

272-6743. The examiner can normally be reached on Tuesday-Thursday (6:30-2:30).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Kalinowski Alexander can be reached on (571) 272-6771. The fax phone

number for the organization where this application or proceeding is assigned is 571-

273-8300.

Information regarding the status of an application may be obtained from the

Patent Application Information Retrieval (PAIR) system. Status information for

published applications may be obtained from either Private PAIR or Public PAIR.

Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see http://pair-direct.uspto.gov. Should

you have questions on access to the Private PAIR system, contact the Electronic

Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a

USPTO Customer Service Representative or access to the automated information

system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Lalita M. Hamilton
Primary Examiner, 3691